



2151#4
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10-01-02

PATENT
Docket No.: 1014/202

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Julie Nguyen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Maso, et al.

Serial No.: 09/964,265

Filing Date: September 25, 2001

For: APPLICATION MANAGER FOR
MONITORING AND RECOVERY OF
SOFTWARE BASED APPLICATION
PROCESSES

Examiner: Not Yet Assigned

Group Art Unit: 2151

RECEIVED

SEP 26 2002

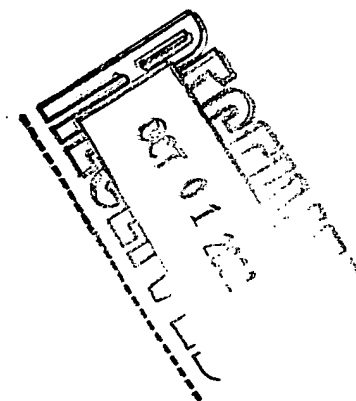
Technology Center 2100

**INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.



This Information Disclosure Statement is submitted:

- ☒ Within three months of the application filing date or before receipt of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check for payment of the fees set forth in 37 C.F.R. § 1.17(p) is attached.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After receipt of a final Office Action or Notice of Allowance, but before payment of the issue fee. A check for payment of the fees set forth in 37 C.F.R. § 1.17(p), and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

The undersigned declares that:

- ☐ Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

The Assistant Commissioner is hereby authorized to charge any fees which may be required by this statement to **Deposit Account Number 501288** referencing docket no. 1014/202.

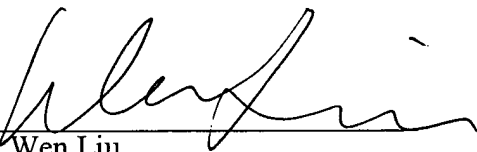
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

This Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

Dated: September 20, 2002

Respectfully submitted,

By: _____



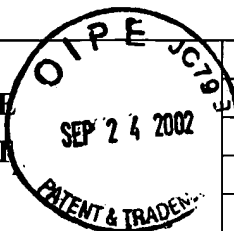
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Please type a plus sign (+) inside this box → ☐

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

Application Number	09/964,265
Filing Date	Sept. 25, 2001
First Named Inventor	Maso, et al.
Group Art Unit	2151
Examiner Name	Not Yet Assigned
Attorney Docket Number	1014/202

Sheet	1	of	1
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Technology Center 2100

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document No.	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	
	1.	6,144,962	Weinberg, et al.	11-07-2000	
	2.	6,182,139	Brendel	01-30-2001	
	3.	5,774,660	Brendel, et al.	06-30-1998	
	4.	6,167,358	Othmer, et al.	12-26-2000	
	5.	5,956,720	Fernandez, et al.	09-21-1999	
	6.	6,138,159	Phaal	10-24-2000	
	7.	6,128,279	O'Neil, et al.	10-03-2000	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code				
	1.		EP1061445		Sun Microsystems, Inc.	12-20-2000		
	2.		EP1061446		Sun Microsystems, Inc.	12-20-2000		

OTHER PRIOR ART

Examiner Initials	Ref. No.	Title

Examiner Signature		Date Considered	
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